

UTILITY PATENT APPLICATION TRANSMITTAL <i>(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))</i>	Attorney Docket No.	1866.2002-000 (D16460)
	First Named Inventor or Application Identifier	Randal A. Salvatore
	Express Mail Label No.	EL552579323US

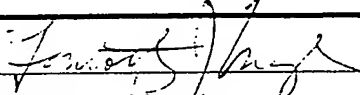
Title of Invention	Electroabsorption Modulated Laser
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APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents.	ADDRESS TO: Assistant Commissioner for Patents Solicitor General Application Washington, D.C. 20231
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1. <input type="checkbox"/> Fee Transmittal Form <i>(Submit an original, and a duplicate for fee processing)</i>	6. <input type="checkbox"/> Microfiche Computer Program <i>(Appendix)</i>																										
2. <input checked="" type="checkbox"/> Specification [Total Pages { 21 }] <i>(preferred arrangement set forth below)</i> <ul style="list-style-type: none"> - Descriptive title of the invention - Cross References to Related Applications - Statement Regarding Fed sponsored R & D - Reference to microfiche Appendix - Background of the Invention - Summary of the Invention - Brief Description of the Drawings - Detailed Description - Claim(s) - Abstract of the Disclosure 	7. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) <ul style="list-style-type: none"> a. <input type="checkbox"/> Computer Readable Copy b. <input type="checkbox"/> Paper Copy (identical to computer copy) [] Pages c. <input type="checkbox"/> Statement verifying identity of above copies 																										
3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) Total Sheets { 9 } <input type="checkbox"/> Formal <input checked="" type="checkbox"/> Informal <input checked="" type="checkbox"/> Fig. of the Drawings for Publication [2]	<table border="1"> <tr> <th colspan="2">ACCOMPANYING APPLICATION PARTS</th></tr> <tr> <td>8. <input type="checkbox"/> Assignment Papers (cover sheet & documents)</td><td></td></tr> <tr> <td><input checked="" type="checkbox"/> Assignee -</td><td></td></tr> <tr> <td colspan="2"> Corning Lasertron, Inc. Corning, NY </td></tr> <tr> <td>9. <input type="checkbox"/> 37 C.F.R. 3.73(b) Statement <input type="checkbox"/> Power of Attorney <i>(when there is an assignee)</i></td><td></td></tr> <tr> <td>10. <input type="checkbox"/> English Translation Document <i>(if applicable)</i></td><td></td></tr> <tr> <td>11. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449</td><td><input type="checkbox"/> Copies of IDS Citations</td></tr> <tr> <td>12. <input type="checkbox"/> Preliminary Amendment</td><td></td></tr> <tr> <td>13. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i></td><td></td></tr> <tr> <td>14. <input type="checkbox"/> Small Entity <input type="checkbox"/> Statement filed in prior application, Statement(s) status still proper and desired</td><td></td></tr> <tr> <td>15. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i></td><td></td></tr> <tr> <td>16. <input type="checkbox"/> Nonpublication Request <i>(check parent application)</i></td><td></td></tr> <tr> <td>17. <input type="checkbox"/> Other:</td><td></td></tr> </table>	ACCOMPANYING APPLICATION PARTS		8. <input type="checkbox"/> Assignment Papers (cover sheet & documents)		<input checked="" type="checkbox"/> Assignee -		Corning Lasertron, Inc. Corning, NY		9. <input type="checkbox"/> 37 C.F.R. 3.73(b) Statement <input type="checkbox"/> Power of Attorney <i>(when there is an assignee)</i>		10. <input type="checkbox"/> English Translation Document <i>(if applicable)</i>		11. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449	<input type="checkbox"/> Copies of IDS Citations	12. <input type="checkbox"/> Preliminary Amendment		13. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i>		14. <input type="checkbox"/> Small Entity <input type="checkbox"/> Statement filed in prior application, Statement(s) status still proper and desired		15. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i>		16. <input type="checkbox"/> Nonpublication Request <i>(check parent application)</i>		17. <input type="checkbox"/> Other:	
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17. <input type="checkbox"/> Other:																											
4. <input type="checkbox"/> Oath or Declaration/POA [Total Pages { }] <ul style="list-style-type: none"> a. <input type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. 1.63(d)) <i>(for continuation/divisional with Box 18 completed)</i> [NOTE Box 5 below] <ul style="list-style-type: none"> i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u> Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. 1.63(d)(2) and 1.33(b). 																											
5. <input type="checkbox"/> Incorporation By Reference <i>(useable if Box 4b is checked)</i> The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.																											

18. If a CONTINUING APPLICATION , check appropriate box and supply the requisite information: <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No.: Prior application information: Examiner: Group Art Unit:

19. CORRESPONDENCE ADDRESS					
NAME	Thomas O. Hoover				
	HAMILTON, BROOK, SMITH & REYNOLDS, P.C.				
ADDRESS	Two Militia Drive				
CITY	Lexington	STATE	MA	ZIP CODE	02421-4799
COUNTRY	USA	TELEPHONE	(781) 861-6240	FAX	(781) 861-9540

Signature		Date	3/15/01
Submitted by Typed or Printed Name	Timothy J. Meagher	Reg. Number	39,302



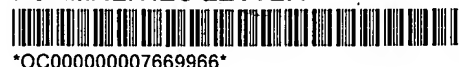
UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/037,461	11/09/2001	Richard Sahara	1866.2005-000 (D16857)

CONFIRMATION NO. 4812

FORMALITIES LETTER



OC000000007669966

David J. Thibodeau, Jr., Esq.
HAMILTON, BROOK, SMITH & REYNOLDS, P.C.
530 Virginia Road
P.O. Box 9133
Concord, MA 01742-9133

Date Mailed: 03/19/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

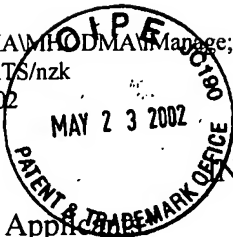
- The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$234.
 ■ \$234 for 13 total claims over 20.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1104.

A copy of this notice MUST be returned with the reply

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

05/24/2002 YPOLITE1 00000017 10037461
01 FC:101
02 FC:103
03 FC:105
740.00 OP
234.00 OP
130.00 OP



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Richard Sahara, Angela Hohl-Abichedid, and Hanh Lu

Application No.: 10/037,461

Group: 2881

Filed: November 9, 2001

Examiner: Not Assigned Yet

For: DISTRIBUTED FEEDBACK LASER FOR ISOLATOR-FREE OPERATION

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Assistant Commissioner for Patents, P.O. Box 2327, Arlington, VA 22202	
on <u>5/20/02</u>	<u>Nadine Z. Kush</u>
Date	Signature
<u>Nadine Z. Kush</u>	
Typed or printed name of person signing certificate	

REPLY TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Box Missing Parts
Assistant Commissioner for Patents
P.O. Box 2327
Arlington, VA 22202

Sir:

In reply to the Notice to File Missing Parts dated March 19, 2002, the following documents and fees are being submitted for filing in the captioned application. A copy of the Notice is attached.

[X] EXECUTED DECLARATION FOR PATENT APPLICATION

(Separate transmittal letter and postcard not required)

[X] POWER OF ATTORNEY DOCUMENT

[] GRANTED BY INVENTOR(S)

[X] GRANTED BY ASSIGNEE, including Statement under 37 C.F.R. 3.73(b)

(Separate transmittal letter and postcard not required)

[] PRELIMINARY AMENDMENT

(Separate transmittal letter and postcard not required)

[X] FILING FEE - with Fee Transmittal for Patent Applications in duplicate

Fee calculations based on:

[X] Claims as originally filed

[] Claims upon entry of the Preliminary Amendment filed [herewith] [with the application]

(Separate transmittal letter and postcard not required)

[X] SURCHARGE - surcharge fee of \$130

(Separate transmittal letter and postcard not required)

☐ **SEQUENCE LISTING** - Filed concurrently and is attached

(Separate transmittal letter and postcard required)

☐ **SUBSTITUTE DRAWINGS**

☐ Sheets of substitute drawings consisting of Figs. 1 - ☐ are enclosed

(Separate transmittal letter and postcard not required)

☐ **PETITION FOR EXTENSION OF TIME**

☐ Applicant hereby petitions to extend the time to respond to the Notice to File

Missing Parts dated ☐ for ☐ month(s) from ☐ to ☐

The appropriate fee of \$☐ is included in the enclosed check

☐ A ☐ month extension of time to respond to the Notice to File Missing

Parts dated ☐ was filed on ☐ with payment of a \$☐ fee

☐ Applicant hereby petitions for an additional ☐ month extension
of time to respond to the Notice to File Missing Parts. The appropriate fee
of \$☐ is included in the enclosed check

(Separate Petition for Extension of Time and postcard not required)

☐ **REQUEST FOR CORRECTED FILING RECEIPT** - Filed concurrently and is attached

(Separate transmittal letter and postcard required)

☐ **STATEMENT CLAIMING SMALL ENTITY STATUS**

☐ Was filed on ☐

☐ Is enclosed herewith


(Separate transmittal letter and postcard not required)

☐ In view of the small entity status of the captioned application, we hereby request a
reimbursement of 50% of the filing fees in the amount of \$☐ which were
paid on ☐ to be deposited in Deposit Account No. 08-0380

The fees required for filing the indicated documents are enclosed in the form of a check
in the total amount of \$1104. Please charge any deficiency or credit any overpayment in
the fees that may be due in this matter to Deposit Account No. 08-0380. A copy of this letter is
enclosed for accounting purposes.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

By 
Timothy J. Meagher
Registration No.: 39,302
Tel.: (978) 341-0036
Fax: (978) 341-0136

Concord, Massachusetts 01742-9133

Date: 5/20/02



HAMIL N, BROOK, SMITH & REYNOLDS, P.C.

TRANSMITTAL FOR
PATENT APPLICATIONS

Attorney Docket Number

1866.2005-000

Application Number

10/037,461

First Named Inventor

Richard Sahara

CLAIM CALCULATION (includes any preliminary amendment)

CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
	TOTAL CLAIMS (37 CFR 1.16(c) or (j))	33 - 20* =	13	x \$ 18 =	\$ 234
	INDEPENDENT CLAIMS (37 CFR 1.16(b) or (i))	3 - 3** =	0	x \$ 84 =	\$ 0
	MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d))			+ \$ 280 =	\$
				BASIC FEE (37 CFR 1.16(a) or (h))	\$ 740
				Total of above Calculations =	\$ 974
	Reduction by 50% for filing by small entity (37 CFR 1.9, 1.27, 1.28) =				\$
	TOTAL =				\$ 974
	Surcharge - Late Filing of Declaration or Filing Fees (37 C.F.R. 1.16(e)) =				\$ 130
	Petition for Extension of Time Fee (37 C.F.R. 1.17) =				\$
	Assignment Recordation Fee = (only when filed with application)				\$
	* Reissue claims in excess of 20 and over original patent ** Reissue independent claims over original patent			TOTAL =	\$ 1104

1. Small entity status:

- a. ☐ A small entity statement is enclosed.
- b. ☐ A small entity statement was filed in the prior non-provisional application and such status is still proper and desired.
- c. ☐ Is no longer claimed.

2. ☒ A general authorization is hereby granted to charge deposit account number 08-0380 for any fees required under 37 CFR 1.16 and 1.17 in order to maintain pendency of this application. A copy of this authorization is enclosed for accounting purposes.

3. ☒ A check is enclosed for \$1104. ☐ Please charge \$[] to Deposit Account No. 08-0380.

4. ☐ Other: _____

Signature		Date	5/20/02
Submitted by Typed or Printed Name	Timothy J. Meagher	Reg. Number	39,302